

IAP7 Rec'd PCT/PTO 25 JUL 2006

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| Transmittal Letter To The United States Designated/Elected Office (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371 | | Attorney Docket No.: 27542U 107587210 |
| International Application: PCT/JP2005/000173 | International Filing Date: January 11, 2005 | Priority Date Claimed: January 26, 2004 |
| Title of Invention: OPTICAL DEVICE AND OPTICAL PICKUP DEVICE | | |
| Applicants for DO/EO/US: OHYAMA, Minoru | | |
| Applicant hereby submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| <ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 USC 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)): <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US) 6. <input checked="" type="checkbox"/> A English translation of the International Application as filed (35 U.S.C. 371(c)(2)). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> are attached hereto (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input checked="" type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | |
| ITEMS 11 to 20 BELOW CONCERN OTHER DOCUMENT(S) OR INFORMATION INCLUDED: | | |
| <ol style="list-style-type: none"> 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input checked="" type="checkbox"/> An assignment document in favor of VICTOR COMPANY OF JAPAN, LIMITED of Yokohama-shi, JAPAN for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A FIRST preliminary amendment. 14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A change of power of attorney and/or address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter2 and 35 USC 1821 - 1825 18. <input type="checkbox"/> A second copy of the published international application under 35 USC 154(d)(4) 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 USC 154(d)(4) | | |

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| U.S. Application No.: 107587210 PCT No.: 210 | International Application: PCT/JP2005/000173 | Attorney Docket No.: 27542U | |
| 20. <input checked="" type="checkbox"/> Other items or information: TRANSMITTAL LETTER; INTERNATIONAL PUBLICATION NUMBER: WO 2005/071672 A1; INTERNATIONAL PUBLICATION DATE: AUGUST 4, 2005; ENGLISH TRANSLATION OF INTERNATIONAL PUBLICATION NUMBER: WO 2005/071672 A1, WHICH CONSISTS OF 41 PAGES: 2 PAGES FOR THE COVER SHEET, 25 PAGES OF TEXTUAL SPECIFICATION, 5 PAGES OF 10 CLAIMS, 1 PAGE FOR THE ABSTRACT, AND 8 SHEETS OF DRAWINGS; PCT/IPEA/409 (INTERNATIONAL PRELIMINARY EXAMINATION REPORT), IN THE JAPANESE LANGUAGE, TO BE EXAMINED; PRELIMINARY AMENDMENT, WHICH CONSISTS OF: ATTACHMENT A (SUBSTITUTE SPECIFICATION - MARKED-UP COPY), ATTACHMENT B (SUBSTITUTE SPECIFICATION - CLEAN COPY) TO BE EXAMINED, AND ATTACHMENTS C AND D, TO BE EXAMINED; EXECUTED DECLARATION AND POWER OF ATTORNEY; EXECUTED ASSIGNMENT, WITH A RECORDATION COVER SHEET, IN FAVOR OF VICTOR COMPANY OF JAPAN, LIMITED OF YOKOHAMA-SHI, JAPAN; PCT/ISA/210 (INTERNATIONAL SEARCH REPORT); PCT/IB/304 (NOTIFICATION CONCERNING SUBMISSION OR TRANSMITTAL OF PRIORITY DOCUMENT); PCT/IB/308 (SECOND AND SUPPLEMENTARY NOTICE INFORMING THE APPLICANT OF THE COMMUNICATION OF THE INTERNATIONAL APPLICATION); PCT/IB/332 (INFORMATION CONCERNING ELECTED OFFICES NOTIFIED OF THEIR ELECTION); INFORMATION DISCLOSURE STATEMENT; PTO FORM-1449, WITH 8 REFERENCES CITED, AND COPIES OF ALL OF THE REFERENCES; POSTCARD FOR EARLY NOTIFICATION OF THE SERIAL NUMBER REQUEST. | | | |
| The following fees are submitted: | | <u>CALCULATION</u> \$ 300.00 | <u>PTO USE ONLY</u> |
| 21. <input checked="" type="checkbox"/> Basic National Fee (37 CFR 1.492(a))..... \$ 300.00 | | | |
| 22. <input checked="" type="checkbox"/> Examination Fee (37 CFR 1.492 (c)) If the written opinion prepared by ISA/US or the International Preliminary Examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$ 0.00 All other situations \$ 200.00 | | \$ 200.00 | |
| 23. <input checked="" type="checkbox"/> Search Fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International Preliminary Examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$ 0.00 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority \$ 100.00 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB \$ 400.00 All other situations \$ 500.00 | | \$ 400.00 | |
| Total of 21, 22 and 23 | | \$ 900.00 | |
| _ Additional fee for specification and drawings filed in paper over 100 sheets (excluding Sequence listing or computer program listing filed in an electronic medium). The fee is \$ 250.00 for each additional 50 sheets of paper or fraction thereof. | | | |
| Total Sheets | Extra Sheets | # of each additional 50 | RATE |
| 100-100 = 0 | 0/50 = | 0 | X \$250 |
| Surcharge of \$130.00 for furnishing the oath or declaration later than __ 20 __ 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | |
| CLAIMS | # FILED | # EXTRA | RATE |
| TOTAL | 9-20= | 0 | X \$50 |
| INDEPENDENT | 2-3= | 0 | X \$200 |
| Multiple dependent claims (if applicable) | | | + \$360 |
| TOTAL OF ABOVE CALCULATIONS = | | \$ 900.00 | |
| _ Applicant claims small entity status. Fees above are reduced by 1/2. | | | |
| SUBTOTAL = | | \$ 900.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)). | | | |
| TOTAL NATIONAL FEE = | | \$ 900.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + | | \$ 40.00 | |
| TOTAL FEES ENCLOSED = | | \$ 940.00 | |
| | | Amount to be refunded: | \$ |
| | | Amount to be charged: | \$ |

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| U.S. Application No.: Native Assigned: 10/587210 | International Application: PCT/JP2005/000173 | Attorney Docket No.: 27542U |
|------------------------------------------------------------|--------------------------------------------------------|-----------------------------|

a. ☒ One check in the amount of **\$940.00** to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account Number: 14-0112 in the amount of \$ _____ to cover the above fees. (A duplicate copy of this sheet is enclosed.)

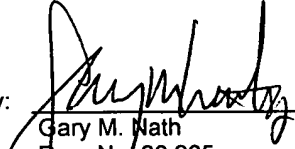
c. ☒ The Commissioner is hereby authorized to charge any additional fees, which may be required, or credit any overpayment to Deposit Account Number: 14-0112.

d. ☐ Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit Card Information should not be included on this form. Provide credit card information and authorization on PTO-2038

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed to request that the application be restored to pending status.

Send All Correspondence To:

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By: 

Gary M. Nath
Reg. No. 26,965
Gregory B. Kang
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Customer No. 20529

10/587210

IAP11 Rec'd PCT/PTO 25 JUL 2006

MAIL STOP PCT
Attorney Docket: 27542U
Date: July 25, 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
OHYAMA, Minoru
Application No.: Not Yet Assigned
Filed: July 25, 2006
Intl. Application No.: PCT/JP2005/000173
Intl. Filing Date: January 11, 2005
Title: OPTICAL DEVICE AND OPTICAL PICKUP DEVICE

TRANSMITTAL LETTER

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

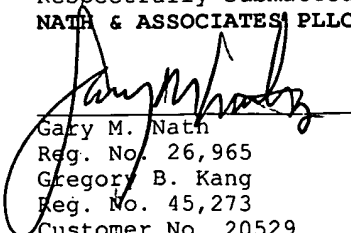
Sir:

Submitted herewith for filing in the U.S. Patent and Trademark Office is the following:

- 1) Transmittal Letter to U.S. Designated/Elected Office (DO/EO/US) Concerning Filing under 35 U.S.C. 371;
- 2) International Publication Number: WO 2005/071672 A1; International Publication Date: August 4, 2005;
- 3) English Translation of International Publication Number: WO 2005/071672 A1, which consists of 41 pages:
 - 2 pages for the Cover Sheet,
 - 25 pages of Textual Specification,
 - 5 pages of 10 Claims,
 - 1 page for the Abstract, and
 - 8 sheets of Drawings;
- 4) PCT/IPEA/409 (International Preliminary Examination Report), in the Japanese Language, to be EXAMINED;
- 5) Preliminary Amendment, which consists of:
 - Attachment A (Substitute Specification - marked-up copy),
 - Attachment B (Substitute Specification - CLEAN COPY) to be EXAMINED, and
 - Attachments C and D, to be EXAMINED;
- 6) Executed Declaration and Power of Attorney;
- 7) Executed Assignment, with a Recordation Cover Sheet, in favor of VICTOR COMPANY OF JAPAN, LIMITED of Yokohama-shi, JAPAN;
- 8) PCT/ISA/210 (International Search Report);
- 9) PCT/IB/304 (Notification Concerning Submission or Transmittal of Priority Document);
- 10) PCT/IB/308 (Second and Supplementary Notice Informing the Applicant of the Communication of the International Application);
- 11) PCT/IB/332 (Information Concerning Elected Offices Notified of their Election);
- 12) Information Disclosure Statement;
- 13) PTO Form-1449, with 8 references cited, and copies of all of the references;
- 14) Check No.: 2502 in the Amount of \$940.00 for the Basic Filing Fee, which includes the Search and Examination Fees (\$900), and for the Fee for the Recordation of the Assignment (\$40), as a Large Entity;
- 15) Postcard for Early Notification of the Serial Number Request.

Respectfully submitted,
NATH & ASSOCIATES, PLLC

By:


Gary M. Nath
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